

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

5988-038-27

First Inventor or Application Identifier

TOMOKI NAGAI

Title

NOVEL CARBAZOLE DERIVATIVE AND CHEMICALLY AMPLIFIED  
RADIATION-SENSITIVE RESIN COMPOSITION

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☒ Fee Transmittal Form (e.g. PTO/SB/17)  
(Submit an original and a duplicate for fee processing)

- ☐ Applicant claims small entity status.

2. ☒ Specification Total Pages **91**

3. ☒ Drawing(s) (35 U.S.C. 113) Total Sheets **3**

4. ☐ Oath or Declaration Total Pages **1**

a. ☐ Newly executed (original or copy)

b. ☐ Copy from a prior application (37 C.F.R. §1.63(d))  
(for continuation/divisional with box 16 completed)

5. ☐ Incorporation By Reference (usable if box 4B is checked)  
The entire disclosure of the prior application, from which a copy of the  
oath or declaration is supplied under Box 4B, is considered to be part  
of the disclosure of the accompanying application and is hereby  
incorporated by reference therein.

**ACCOMPANYING DOCUMENTS**

6. ☐ Assignment Papers (cover sheet & document(s))  
7. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)  
8. ☐ English Translation Document (if applicable)  
9. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations  
10. ☐ Preliminary Amendment  
11. ☒ White Advance Serial No. Postcard  
12. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)  
13. ☒ Request for Priority  
14. ☒ List of Inventors' Names and Addresses  
15. ☐ Other:

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application no.:

Prior application information: Examiner:

Group Art Unit:

17. Amend the specification by inserting before the first line the sentence:

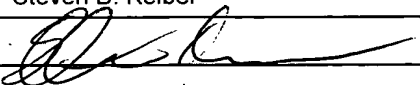
☒ This application is a ☐ Continuation ☐ Division ☐ Continuation-in-part (CIP)  
of application Serial No. Filed on

☐ This application claims priority of provisional application Serial No.

Filed

**18. CORRESPONDENCE ADDRESS**

Supervisor, Patent Prosecution Services  
PIPER MARBURY RUDNICK & WOLFE LLP  
1200 Nineteenth Street, N.W.  
Washington, D.C. 20036-2412  
Telephone No. (202) 861-3900  
Facsimile No. (202) 223-2085

Name	Steven B. Kelber	Registration No.	30,073
Signature		Date	3/5/02
Name		Registration No.	
		Telephone	202-861-3900

<b>FEE TRANSMITTAL</b>				Docket No.		5988-038-27			
				Serial No.		NEW APPLICATION			
				Filing Date		HEREWITH			
				Inventor(s)		TOMOKI NAGAI, ET AL.			
				Group Art Unit		UNASSIGNED			
TOTAL AMOUNT OF PAYMENT				\$870.00		Examiner		UNASSIGNED	

10/08/05  
 10/08/05  
 03/05/02

1. <input type="checkbox"/> Applicant claims small entity status. <input checked="" type="checkbox"/> Charge any <u>UNDERPAYMENT</u> or credit any <u>OVERPAYMENT</u> in the indicated fees to Deposit Account No. 50-1442. <input type="checkbox"/> Charge the indicated fees to Deposit Account No. 50-1442.						FEE CALCULATION (continued)					
						3. ADDITIONAL FEES					
		Large Entity		Small Entity		Fee Description					
		Fee Code	Fee (\$)	Fee Code	Fee (\$)			Fee Paid			
FEE CALCULATION						105	130	205	65	Surcharge-late filing fee or oath	130.00
1. BASIC FILING FEE						127	50	227	25	Surcharge-late provisional filing fee or cover sheet	
Large Entity		Small Entity		Fee Description		139	130	139	130	Non-English specification	
Fee Code	Fee (\$)	Fee Code	Fee (\$)			Fee Paid	147	2520	147	2520	Ex parte reexam. fee
101	740	201	370	Utility filing fee		740.00	115	110	215	55	1-mo. ext. of time
106	330	206	165	Design filing fee			116	400	216	200	2-mo. ext. of time
107	510	207	255	Plant filing fee			117	920	217	460	3-mo. ext. of time
108	740	208	370	Reissue filing fee			118	1440	218	720	4-mo. ext. of time
114	160	214	80	Provisional filing fee			128	1960	228	980	5-mo. ext. of time
SUBTOTAL (1)						\$740.00	119	320	219	160	Notice of Appeal
2. EXTRA CLAIM FEES						120	320	220	160	Appeal Brief	
tot. claims		18	-	20*	= 0	x \$18 = 0	121	280	221	140	Request for Oral Hearing
ind. claims		3	-	3*	= 0	x \$84 = 0	142	1280	242	640	Utility/Reissue Issue Fee
<input type="checkbox"/> Multiple Dependent Claims		\$280 =				143	460	243	230	Design Issue Fee	
Large Entity		Small Entity		Fee Description		144	620	244	310	Plant Issue Fee	
Fee Code	Fee (\$)	Fee Code	Fee (\$)			122	130	122	130	Petitions to the Commissioner	
103	18	203	9	Claims in excess of 20		126	180	126	180	IDS Submission	
102	84	202	42	Independent claims in excess of 3		581	40	581	40	Assignment	
104	280	204	140	Multiple dependent claim, if not paid		179	740	279	370	For Filing RCE	
109	84	209	42	*Reissue independent claims over original patent		169	900	169	900	Expedited Design	
110	18	210	9	*Reissue claims in excess of 20 and over original patent		OTHER (indicate below):					
SUBTOTAL (2)						\$0.00					
* or number previously paid, if greater; For Reissues, see above						SUBTOTAL (3)				\$130.00	

Name		Steven B. Kelber		Registration No.		30,073	
Signature				Date		3/5/02	
Name				Registration No.		Telephone	

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: TOMOKI NAGAI, ET AL.

SERIAL NO: NEW APPLICATION

FILED: HEREWITH

FOR: NOVEL CARBAZOLE DERIVATIVE AND CHEMICALLY AMPLIFIED RADIATION-SENSITIVE  
RESIN COMPOSITION



REQUEST FOR PRIORITY

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

SIR:

- ☐ Full benefit of the filing date of U.S. Application Serial Number [US App No], filed [US App Dt], is claimed pursuant to the provisions of 35 U.S.C. §120.
- ☐ Full benefit of the filing date of U.S. Provisional Application Serial Number , filed , is claimed pursuant to the provisions of 35 U.S.C. §119(e).
- ☒ Applicants claim any right to priority from any earlier filed applications to which they may be entitled pursuant to the provisions of 35 U.S.C. §119, as noted below.

In the matter of the above-identified application for patent, notice is hereby given that the applicants claim as priority:

<u>COUNTRY</u>	<u>APPLICATION NUMBER</u>	<u>MONTH/DAY/YEAR</u>
JAPAN	61922/2001	MARCH 6, 2001

Certified copies of the corresponding Convention Application(s)

- ☐ are submitted herewith
- ☒ will be submitted prior to payment of the Final Fee
- ☐ were filed in prior application Serial No. filed
- ☐ were submitted to the International Bureau in PCT Application Number
- ☐ (A) Application Serial No.(s) were filed in prior application Serial No. filed ; and  
(B) Application Serial No.(s)
  - ☐ are submitted herewith
  - ☐ will be submitted prior to payment of the Final Fee

Respectfully submitted,

PIPER MARBURY RUDNICK & WOLFE LLP

Steven B. Kelber

Registration No.: 30,073

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DOCKET NO. 5988-038-27

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF: TOMOKI NAGAI, ET AL.

SERIAL NO.: NEW APPLICATION

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RADIATION-SENSITIVE RESIN COMPOSITION

**LIST OF INVENTORS' NAMES AND ADDRESSES**

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

SIR:

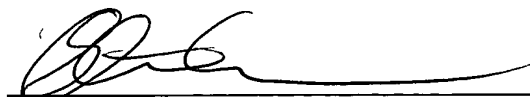
Listed below are the names and addresses of the inventors for the above-identified patent application.

1. Tomoki NAGAI  
303, 12-26, 1, Shirasuka,  
Yokkaichi, Mie 510-0018, Japan
2. Jun NUMATA  
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Yokkaichi, Mie 510-0957, Japan

A declaration containing all the necessary information will be submitted at a later date.

Respectfully submitted,

PIPER MARBURY RUDNICK & WOLFE LLP



Steven B. Kelber  
Registration No. 30,073  
Attorney of Record

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